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November 12, 1968

EXECUTIVE OFFICE OF THE PRESIDENT  
BUREAU OF THE BUDGET  
Washington, D. C. 20503

BULLETIN NO. 69-\_\_

November \_\_, 1968

TO HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: Reports on research supported by the Federal Government under contracts and grants

1. Purpose. This Bulletin established the requirement for the development of listings of research (not development) contracts and grants and for the submission of those listings to the Congress by all executive departments and agencies by February 1, 1969. This Bulletin also requires that a report on the estimated cost of compiling the information be submitted to the Bureau of the Budget by February 15, 1969.
2. Background. The requirement for listings of research contracts and grants is responsive to a request from Senator Mansfield. The Bureau understands that this request is related to Congressional interest in the kinds and cost of research and development being supported by various Federal agencies and in the Executive Branch's arrangements for reviewing and managing the Federally-sponsored R&D efforts. The listings submitted in response to this Bulletin are limited to research both ("basic" and "applied") and exclude development contracts and grants. The Bureau recommends that agencies be guided by the definitions of "research" developed by the National Science Foundation in determining whether or not a particular project is to be reported. The Bureau understands that the listings may be published by the Congress.

On file OMB release  
instructions apply.

Formats for Listings

<u>Organization &amp; Principal Investigator</u>	<u>Project title</u>	<u>FY 1968 Obligations</u>	<u>Period cov- ered (if more than 1 year)</u>
1. <u>List #1 (paragraph 3.c.(1)).</u>			
"Industrial organizations"			
a. ABC Company		\$9,275,000	
Adams, John	Title of 1st project	\$500,000	2 yrs.
	Title of 2nd project	375,000	
(then list other investigators in this company)			
	*	*	*
b. BCD Company, etc.	*	*	*
Educational Institutions			
a. Alpha University			
etc."			
2. <u>List #2 (paragraph 3.c.(2)).</u>			
"Chemistry"			
a. ABC Company		\$1,075,000	
Adams, John	Title of 1st project	\$ _____	2 yrs.
	Title of 2nd project	\$ _____	
(then list other investigators)			
b. BCD Company, etc."			

submitting the required listings. Reports should show separately the following costs: ADP processing, staff time for manual preparation, other staff time, printing costs, other miscellaneous costs, and total.

5. Agency contacts. Each department and agency supporting research under contracts or grants is to notify the Bureau by phone (Code 103, x4904, or 395-4904) by November 30, 1968, of the name of the agency official responsible for this project.

Attachment

Charles Zwick  
Director

c. Format (continued)

(2) Listing by Field of Science. This listing should show all contracts and grants and be organized and indexed by "field of science." The field of science classification system now in use by the reporting agency may be used. The classification by field should be as definitive as permitted by the agency system but generally no more definitive than that used in the latest questionnaire for the NSF Federal Funds edition. Within each field of science, contracts and grants should be listed by organization(alphabetically) and by principal investigator(also alphabetically). The indexing system should be described in a letter accompanying the agency listings.

d. Classified projects. If listing of information of the type specified above on any particular contract or grant would constitute classified information, those projects are to be listed separately and marked with the appropriate classification.

e. Copies of the Report. One copy of each listing is to be addressed to Senator Mansfield and mailed or delivered to the offices of the Senate Democratic Policy Committee, Room S-118, in the Capitol. A copy of the cover letter transmitting the listings should be sent to the Director, Bureau of the Budget, Attention: Economics, Science and Technology Division. Copies of the listings are not to be provided to the Bureau at this time, but agencies are expected to retain a copy for reference for a reasonable period.

4. Report of costs. In order that the Bureau and the Office of Science and Technology may be informed of the costs involved in compiling lists of current research contracts and grants, each agency is to submit to the Bureau by February 15, 1969, its best estimate of the incremental costs involved in developing and

### 3. Reporting Instructions<sup>1/</sup>

a. Coverage. The information listed in paragraph b., is to be supplied for:

- (1) each research contract and grant awarded during fiscal year 1968, and
- (2) each instance where additional funds are obligated in fiscal year 1968 under a research contract or grant awarded prior to fiscal year 1968 (e.g., multiple year contracts where funds are added annually.)

b. Content. The following information is to be supplied by each agency for each research contract or grant:

- (1) organization receiving the contract or grant
- (2) name of the principal investigator
- (3) title of the contract or grant
- (4) funds obligated in fiscal year 1968
- (5) period covered by the obligations if longer than one year

c. Format. Two complete listings are to be supplied:

- (1) Listing by organization and principal investigator. This listing should show all contracts and grants listed according to:

- (a) type of organization: industrial, educational, state government agencies, other public agencies, other Federal agencies, other non-profit organizations, and foreign.
- (b) within each type of organization section, the organization or institution receiving the contract or grant, listed alphabetically.
- (c) within each organization, the principal investigator for each contract or grant, listed alphabetically.

Also, the listing should show the total funds involved in fiscal year 1968 for each organization. (see Attachment #1 for sample format.)

<sup>1/</sup>Instructions in paragraph 3 do not apply to Department of Defense which is negotiating separately with Senator Mansfield.